



PT 0095

Date: February 10, 2003

To: All Online Comparison System (OCS) Participants

Subject: **NYSE Online Comparison Systemsm (OCS) Migration to SFTI/New Service Access Policies for NYSE Online Comparison Systemsm Remote Terminal Users**

On September 10, 2002, the NYSE issued PT0092 "New Service Access Policies for the NYSE Online Comparison Systemsm (OCS). This notice detailed the connectivity changes required by NYSE interactive participants to support contingency.

All OCS interactive participants were required to convert to MQSeries processing using the standard TCP/IP protocol, no later than the end of the first quarter of 2003.

Secure Financial Transaction Infrastructure (SFTI)

Currently, the OCS interface is accessed via connectivity to SIAC's Shared Data Center. Effective immediately, access to the OCS is available through the SIAC Secure Financial Transaction Infrastructure (SFTI)sm.

SIAC's SFTI is a high capacity infrastructure designed to improve overall resilience of the financial industry's data communications connectivity. This highly reliable infrastructure offers firms access to the trading, clearing and settlement, market data distribution and other services SIAC provides on behalf of most of the U.S. securities industry's exchanges and utilities.

SFTI is a national solution that all members of the financial community can utilize. SFTI currently offers local connectivity to firms in the Northeast and Midwest with plans to expand to other areas of the country as the market demands.

The NYSE has adopted SFTI as its facility for all customer connectivity. SFTI provides greater resiliency through more physical access nodes and greater geographic diversity and guaranteed route diversity from those nodes to the SIAC data centers. All OCS interactive participants are required to connect to the OCS via SFTI no later than **December 31, 2003.**

Anna Howell

- Only member firms and service bureaus that are IP capable for OCS can schedule a connection date and order new lines into SFTI.
- Customers that install new lines into SFTI for their trading activity can use those same lines for their OCS activity.
- Customers that require installation of new lines to support the OCS conversion to IP must connect to SFTI.

For general information on SFTI, please e-mail SFTI@SIAC.com or call 1-866-USESIAC.

OCS Remote Terminal TCP/IP Conversion

In addition to the interactive messaging interface requirement to convert to TCP/IP, all OCS terminal access must be converted to TCP/IP. All remote terminals that access the OCS via dedicated lease line or dial up, must convert to TCP/IP no later than **June 30, 2003**.

Dedicated Line

For remote dedicated terminal connectivity to the SIAC Shared Data Center (SDC) via TCP/IP, the following is required:

- Registered TCP/IP network addresses.
- Supply SDC with the originating IP address for the TN3270 session.
- TCP/IP stack on the host computer supporting TELNET.
- 3270 Emulation software on the host supporting TN3270.
- Dynamic routing is mandatory. No Static Routes allowed.
- Firms will not be allowed to place their equipment (Routers) on the SIAC SDC premises.

Note: If a firm presently has a TCP/IP connection to the SDC, that connection can be used if sufficient line capacity is available to handle the additional data. If a firm requires the installation of a new line, they must convert to SFTI.

Dial-up

For remote dial-up connectivity to the SIAC Shared Data Center (SDC) via TCP/IP, the following is required:

- Host Workstation/client server (Windows 2000, NT, Unix, Linux PC's).
- TCP/IP dial-up networking software that supports PPP (Point to Point Protocol) and CHAP (Challenge Authentication Protocol).
- Analog modem (up to 56kbps (V.90) supported).
- 3270 Emulation software on the host supporting TN3270.
- Analog circuit.
- All necessary internal cables.

Note: **If a firm is in the process of establishing a connection to SFTI, they should consider eliminating their dial-up connection to OCS and use SFTI.**

Technical Contacts

All technical inquiries should be directed to:

SIAC Client Connectivity Group, Michael Robinson or Cass Carter at (212) 383-5401, who will coordinate your inquiries with the relevant area at SIAC.

Contacts

Questions regarding this notice should be addressed to Mr. Joseph Fawcett at (212) 656-8585 or Mr. Robert Hesdra at (212) 656-3859.